

Nebraska Workers' Compensation Court

**Proof of Coverage
Implementation Guide
Electronic Data Interchange (EDI)**



Revised

June 9, 2006

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Section One:

Introduction

EDI Overview

Since 1997, the Nebraska Workers' Compensation Court's Electronic Data Interchange (EDI) Initiative has allowed employers, insurers, and others to file certain forms with the court in an electronic format as opposed to sending these forms through the mail. The benefits of EDI include:

1. Reduced typographical errors, computational errors, misinterpretations, and omissions.
2. Reduced paper-based costs: paper and forms, postage and express mail, faxing.
3. Faster document exchange/turnaround time.
4. Operational improvements: reduced inventory and outstanding receivables.
5. Reduced processing costs.
6. Increased employee efficiency.
7. Benchmarking among jurisdictions and provinces using a central data repository for statistical analysis.

At the time of publication, 99.9 percent of all first reports and 90 percent of all subsequent reports are filed electronically with the court.

Proof of Coverage

Nebraska Workers' Compensation Court (NWCC) has implemented and requires the IAIABC Proof of Coverage (POC) R2.1 standard. The POC R2.1 Implementation Guide contains flat file record layouts and business scenarios that NWCC supports. The most current version of the guide can be found at the following link: [http://www.iaiaabc.org/edi/implementation_docs/POC%20R2-1%20\(04-01-06\)%20linked.pdf](http://www.iaiaabc.org/edi/implementation_docs/POC%20R2-1%20(04-01-06)%20linked.pdf).

The court accepts the electronic filing of Proof of Coverage (EDI POC) information from insurance companies, either directly with the court, or by way of approved vendors who have been certified by the court. This POC Implementation Guide and a list of approved vendors may be viewed and downloaded from our Web site's EDI Page at the following link: <http://www.wcc.ne.gov/edi.htm>. Please continue to watch for future EDI Advisories on each of these issues. If you have further questions please contact the court's EDI POC Business Contact, Allen Kassebaum, at 800-599-5155.

Contact List

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5610 Medical Circle, Suite 24
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Section Two:

EDI Trading Partner Requirements

Transaction Overview

The Transaction Overview summarizes the different types of transactions that can be accomplished with IAIABC POC reporting. The overview presents a transaction by name, Triplicate Code, and the business assumption. Additionally, each Triplicate Code has a corresponding Business Scenario (Section 5 of this guide), and a processing example in the Processing Rules document (Section 4 of this Guide).

The three key data elements that comprise the Triplicate Code are: 1) Transaction Set Purpose Code, 2) Transaction Set Type Code, and 3) Transaction Reason Code. These three elements denote via code how the transaction is identified and handled.

An important note to explain is the third column in the overview document that is titled "Carrier/ Insurer Submits." While Section 2 describes the records that are used for POC, it does not denote the sequence of the records, what triplicate codes are used, and when a specific transaction is or is not required. The "Carrier/Insurer Submits" column displays codes that describe when an *Insured (PC1)* record is used, when an *Insured (PC1)* record is followed by an *Employer (PC2)* record, and when a special set of records (paired transactions) are used. The following describes each of the codes that will be found in this column of the document.

- **A** — Requires a single *Insured (PC1)* record and *Employer (PC2)* records for all jurisdiction locations.
- **E/M** — Requires a single *Insured (PC1)* record and one or more *Employer (PC2)* records for the impacted jurisdiction as agreed to in the Trading Partner Agreement.
- **EN/M** — Requires a single *Insured (PC1)* record and any *Employer (PC2)* record(s) for employers operating in or through the state and not having a physical location in the State.
- **I** — Requires a single *Insured (PC1)* record only.
- **PI** — Required paired *Insured (PC1)* records only.
- **PE** — Requires paired *Insured (PC1)* records with one corresponding *Employer (PC2)* record for the impacted jurisdiction location.

An *Insured (PC1)* record is required for all POC Transactions. The *Insured (PC1)* record contains the triplicate code that defines the purpose of the transaction. When *Employer (PC2)* records are required, as denoted by the codes A, E, E/M, EN/M, and PE, they must immediately follow their specific *Insured (PC1)* record. This is so that the action to be taken, denoted by the *Insured (PC1)* record, can be applied to the specific employers for which the action was intended. There are some transactions, denoted by the codes I, and PI, that do not require an *Employer (PC2)* record because the purpose of the transaction is to make a change that is policy wide and not meant to affect a specific employer. These transactions consist solely of an *Insured (PC1)* record.

For those POC transactions where EN/M is indicated, this transaction is to immediately follow an Establishing Document Transaction or an Endorsement Transaction to Add Jurisdiction. It may be used as a stand-alone transaction only when endorsing an existing policy for the jurisdiction. It is to include the *Insured (PC1)* record and *Employer (PC2)* records only for those employers not having an actual physical address in the jurisdiction, but where the employer does operate in or through the jurisdiction. If one or more employers being reported has a physical address in the jurisdiction, then the transaction with A must be used and full addresses must be reported for those employers with a physical address in the jurisdiction.

Paired transactions are a special set of records used when it is necessary to know what the values in certain fields were before the change is applied. Either a PI or PE code identifies these transactions. When a paired transaction is used, the first set of the pair is the *Insured (PC1)* record as it was previously sent, prior to this change. Immediately following the first *Insured (PC1)* record will be either an *Employer (PC2)* record (if the code is PE) or the updated *Insured (PC1)* record (if the code is PI) that reflects the change that is to be applied. It is important to remember that a paired set of transactions will always consists of two *Insured (PC1)* records at a minimum but can

also include *Employer (PC2)* records attached to each *Insured (PC1)* record if the code so denotes.

As mentioned previously, Section 5 presents the Business Scenarios that are detailed examples, which are numbered to correspond to the overview document. These examples are intended to present realistic transaction(s) that can occur in the transmission of the IAIABC POC system.

When the transaction, according to the overview document, requires only an Insured (PC1) record the example will reflect that. When employer records are required or when paired transactions are used, the example will accurately depict that as well.

Each scenario presented in Section 5 is an independent example of the transaction unless otherwise noted in the transaction business assumption.

SECTION 4
IAIABC PROOF OF COVERAGE RELEASE 2.1 STANDARDS:
TRANSACTION OVERVIEW

Transaction	Jurisdiction Accepted Triplicates (Y / N)	Sub Type Code	Trans Set Purp Code	Trans Set Type Code	Trans Reas Code	Business Assumption	File Processing Examples Scenario #
NOTIFICATION OF COVERAGE							
Binder - <i>all</i> Employer Locations within Jurisdiction	Y	A	00	05	01	The Carrier/Insurer has written a temporary agreement, which legally provides coverage until the Carrier/Insurer issues a formal contract (policy). This insured does business in the Jurisdiction and the binder provides coverage for the Jurisdiction. <i>All</i> Employer locations are located with the Jurisdiction.	5-1-1.1 N-1/N-7
Binder - <i>some</i> Employer Locations within Jurisdiction	Y	A	00	05	01	The Carrier/Insurer has written a temporary agreement, which legally provides coverage until the Carrier/Insurer issues a formal contract (policy). This insured does business in the Jurisdiction and the binder provides coverage for the Jurisdiction. <i>Some</i> Employer locations are located with the Jurisdiction.	5-1-2 N-2/N-7
Binder – Insured has No Physical Location within Jurisdiction	Y	I	00	05	80	The Carrier/Insurer has written a temporary agreement, which legally provides coverage until the Carrier/Insurer issues a formal contract (policy). The insured does business in the Jurisdiction and the binder provides coverage for the Jurisdiction. The insured, however, does not have a physical address in the Jurisdiction (e.g., Interstate common carriers).	5-1-3 N-3

Submission
Type Code
Legend:

*Code	Description
A	Requires a single insured record and employer records for all jurisdiction locations.
E/M	Requires a single insured record and one or more employer records for the impacted jurisdiction as agreed to in the Trading Partner Agreement.
EN/M	Requires a single insured record and any employer record(s) for employers operating in or through the state and not having a physical location in the state
I	Requires a single insured record only.
PI	Required paired insured records only.
PE	Requires paired insured records with one corresponding employer record for the impacted jurisdiction location.

SECTION 4

IAIABC PROOF OF COVERAGE RELEASE 2.1 STANDARDS: TRANSACTION OVERVIEW

Transaction	Jurisdiction Accepted Triplicates (Y / N)	Sub Type Code	Trans Set Purp Code	Trans Set Type Code	Trans Reas Code	Business Assumption	File Processing Examples Scenario #
Binder - Employers with No Physical Address, but Operating within the Jurisdiction	Y	EN/M	00	05	86	The Carrier/Insurer has written a temporary agreement, which legally provides coverage until the Carrier/Insurer issues a formal contract (policy). The insured does business in the Jurisdiction and the binder provides coverage for the Jurisdiction. <i>In addition, one or more employers operate in the Jurisdiction but do not have a physical address in the Jurisdiction (e.g., Interstate common carriers).</i>	5-1-4 N-4
New Policy - <i>all</i> Employer Locations within the Jurisdiction	Y	A	00	10	01	Carrier/Insurer has written a new policy for an employer. This insured does business in the Jurisdiction and the policy provides coverage for the Jurisdiction. <i>All</i> Employer locations are located with the Jurisdiction.	5-1-1 N-1/N-7
New Policy - <i>some</i> Employer Locations within the Jurisdiction	Y	A	00	10	01	Carrier/Insurer has written a new policy for an employer. This insured does business in the Jurisdiction and the policy provides coverage for the Jurisdiction. <i>Some</i> Employer locations are located with the Jurisdiction.	5-1-2 N-2/N-7
New Policy – Insured has No Physical Location within Jurisdiction	Y	I	00	10	80	Carrier/Insurer has written a new policy for an employer. The insured does business in the Jurisdiction and the policy provides coverage for the Jurisdiction. The insured, however, does not have a physical address in the Jurisdiction (e.g., Interstate common carriers).	5-1-3 N-3

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TRANSACTION OVERVIEW

Transaction	Jurisdiction Accepted Triplicates (Y / N)	Sub Type Code	Trans Set Purp Code	Trans Set Type Code	Trans Reas Code	Business Assumption	File Processing Examples Scenario #
New Policy - Employers with No Physical Address, but Operating within the Jurisdiction	Y	EN/M	00	10	86	The Carrier/Insurer has written a new policy for an employer. The insured does business in the Jurisdiction and the policy provides coverage for the Jurisdiction. In addition, one or more employers operate in the Jurisdiction but do not have a physical address in the Jurisdiction (e.g., Interstate common carriers).	5-1-4 N-4
Renewal - <i>all</i> Employer Locations within Jurisdiction	Y	A	00	20	01	Carrier/Insurer has continued the insurance policy/contract coverage for another term. <i>All</i> Employer locations are located with the Jurisdiction.	5-1-1 N-1/N-7
Renewal - <i>some</i> Employer Locations within Jurisdiction	Y	A	00	20	01	Carrier/Insurer has continued the insurance policy/contract coverage for another term. This insured does business in the Jurisdiction and the policy provides coverage for the Jurisdiction. <i>Some</i> Employer locations are located with the Jurisdiction.	5-1-2 N-2/N-7
Renewal - – Insured has No Physical Location within Jurisdiction	Y	I	00	20	80	Carrier/Insurer has continued the insurance policy/contract coverage for another term. The insured does business in the Jurisdiction and the policy provides coverage for the Jurisdiction. The insured, however, does not have a physical address in the Jurisdiction (e.g., Interstate common carriers).	5-1-3 N-3

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Transaction	Jurisdiction Accepted Triplicates (Y / N)	Sub Type Code	Trans Set Purp Code	Trans Set Type Code	Trans Reas Code	Business Assumption	File Processing Examples Scenario #
Renewal - Employers with No Physical Address, but Operating within the Jurisdiction	Y	EN/M	00	20	86	The Carrier/Insurer continued the insurance policy/contract coverage for another term. The insured does business in the Jurisdiction and the policy provides coverage for the Jurisdiction. In addition, one or more employers operate in the Jurisdiction but do not have a physical address in the Jurisdiction (e.g., Interstate common carriers).	5-1-4 N-4
Endorsement – Notifying a New Jurisdiction when a New Location is added to Existing Policy	Y	A	00	31	72	Carrier/Insurer has added the Jurisdiction to an existing policy. The policy did not previously provide coverage in the Jurisdiction.	5-1-5 N-5
Endorsement – Notifying a New Jurisdiction when a New Employer with No Jurisdiction location is added to Existing Policy	Y	I	00	31	80	Carrier/Insurer has added the Jurisdiction to an existing policy for an employer who does not have a physical location in the Jurisdiction. The policy did not previously provide coverage in the Jurisdiction.	5-1-6 N-6
Rewrite/Reissue – Employer Locations within Jurisdiction	Y	A	00	50	01	Carrier/Insurer has canceled policy for cause but has now reconciled the dispute with the insured. Carrier/Insurer rewrites the policy for the original term. Carrier/Insurer may a new policy number.	5-1-1 or 5-1-2 N-1/N-2/N-7
Rewrite/Reissue - Insured has No Physical Location within Jurisdiction	Y	I	00	50	80	Carrier/Insurer has canceled policy for cause but has now reconciled the dispute with the insured. Carrier/Insurer rewrites the policy for the original term. Carrier/Insurer may use a new policy number. The insured does business in the Jurisdiction and the rewrite/reissue provides coverage for the Jurisdiction. The insured, however, does not have a physical address in the Jurisdiction (e.g., Interstate common carriers).	5-1-3 N-3

Submission
Type Code
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Transaction	Jurisdiction Accepted Triplicates (Y / N)	Sub Type Code	Trans Set Purp Code	Trans Set Type Code	Trans Reas Code	Business Assumption	File Processing Examples Scenario #
Rewrite/Reissue - Employers with No Physical Address, but Operating within the Jurisdiction	Y	EN/M	00	50	86	The Carrier/Insurer has canceled policy for cause but has now reconciled the dispute with the insured. Carrier/Insurer rewrites the policy for the original term. Carrier/Insurer may use a new policy number. The insured does business in the Jurisdiction and the rewrite/reissue provides coverage for the Jurisdiction. In addition, one or more employers operate in the Jurisdiction but do not have a physical address in the Jurisdiction (e.g., Interstate common carriers).	5-1-4 N-4
ADDITION OF COVERAGE							
Add New Insured FEIN	Y	PI	04 05	32 31	76 76	The Insured has acquired a new FEIN. The Carrier/Insurer is updating the subject policy for the Insured new FEIN.	5-2-1 A-1
Submitting Corporate Officer/ Partner/Sole Proprietor - Inclusion	Y	I	00	32	67	Carrier/Insurer has adjusted policy coverage to include Corporate Officer/Partner/ Sole Proprietor	5-2-2 A-2
Submitting Corporate Officer/Partner/ Sole Proprietor - Exclusion	Y	I	00	32	68	Carrier/Insurer has adjusted policy coverage to exclude Corporate Officer/Partner/ Sole Proprietor	5-2-2 A-2
Add New Employer – Add (Location in Jurisdiction)	Y	E/M	00	31	54	Carrier/Insurer has added a new employer Jurisdiction location to an existing.	5-2-3 A-3

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EN/M	Requires a single insured record and any employer record(s) for employers operating in or through the state and not having a physical location in the state
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IAIABC PROOF OF COVERAGE RELEASE 2.1 STANDARDS: TRANSACTION OVERVIEW

Transaction	Jurisdiction Accepted Triplicates (Y / N)	Sub Type Code	Trans Set Purp Code	Trans Set Type Code	Trans Reas Code	Business Assumption	File Processing Examples Scenario #
Add New Employer – Add (Employer Not in Jurisdiction)	Y	EN/M	00	31	86	Carrier/Insurer has added the Jurisdiction to an existing policy and one or more employers operate in the Jurisdiction but do not have a physical address in the Jurisdiction (e.g., Interstate common carriers). CONDITIONAL: May not be submitted alone, must immediately follow one of the Add Jurisdiction Transactions (00/31/72 or 00/31/80).	5-2-3 A-3
Add Employer – Add (Employer not in Jurisdiction)	Y	EN/M	00	31	87	Carrier/Insurer has added a new employer to an existing policy for the Jurisdiction. The employer operates in the state, but does not have a physical address in the Jurisdiction.	5-2-3 A-3
CHANGE OF EXISTING COVERAGE							
Change Carrier/Insurer FEIN	Y	PI	04	32	83	The Carrier/Insurer has previously transmitted an erroneous Carrier/Insurer FEIN for the policy. The Carrier/Insurer is updating the subject policy to correct the Carrier/ Insurer FEIN.	5-3-1 C-1
			05	32	83		
Correct Insured FEIN	Y	PI	04	33	76	The Carrier/Insurer has previously transmitted an erroneous FEIN for the Insured. The Carrier/Insurer is updating the subject policy to correct the Insured FEIN.	5-3-2 C-2
			05	32	76		
Change Policy Number	Y	PI	04	32	79	Carrier/Insurer has changed the Policy Number for the subject policy. This transaction results in a new establishing document for the policy.	5-3-3 C-3
			05	32	79		
Correct Erroneous Policy Effective Date	Y	PI	04	32	81	The Carrier/Insurer has previously transmitted an erroneous Effective Date for the policy. The Carrier/Insurer is updating the subject policy to correct the Effective Date.	5-3-4 C-4
			05	32	81		

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IAIABC PROOF OF COVERAGE RELEASE 2.1 STANDARDS:
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Transaction	Jurisdiction Accepted Triplicates (Y / N)	Sub Type Code	Trans Set Purp Code	Trans Set Type Code	Trans Reas Code	Business Assumption	File Processing Examples Scenario #
Correct Erroneous Expiration Date	Y	PI	04	32	82	The Carrier/Insurer has previously transmitted an erroneous Expiration Date for the policy. The Carrier/Insurer is updating the subject policy to correct the Expiration Date.	5-3-5 C-5
			05	32	82		
Change Insured Demographics (Legal Status, Insured Name, Governing Class, Total Payroll, Insured Address, Telephone Number, Business Market, Wrap Up Indicator, Assignment Date, Employee Leasing Policy Identification, Minimum Premium Policy Indicator)	Y	I	00	32	84	Insured has changed demographic information for the subject policy. Insured has reported Changes in the Insured business, which affects the coverage for the subject policy.	5-5-6 C-6
Change Employer FEIN – Employer Locations within Jurisdiction	Y	PE	04	32	77	Employer has changed the FEIN for all or specific locations covered by the subject policy.	5-3-7 C-7
			05	32	77		
Change Employer FEIN - Employer with No Jurisdiction Location <i>Note: A change to the Industry Code and/or # of Employees may be reflected with this change.</i>	Y	PE	04	32	96	Employer has changed the FEIN for an employer operating in the Jurisdiction but having no physical address in the Jurisdiction (e.g., Interstate common carriers) and is covered by the subject policy.	5-3-7 C-7
			05	32	96		
Change Employer UI Number – Employer Locations within Jurisdiction	Y	PE	04	32	78	Employer has changed the UI Number for all or specific locations covered by the subject policy.	5-3-8 C-8
			05	32	78		

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Transaction	Jurisdiction Accepted Triplicates (Y / N)	Sub Type Code	Trans Set Purp Code	Trans Set Type Code	Trans Reas Code	Business Assumption	File Processing Examples Scenario #
Change Employer U/I Number - Employer with No Jurisdiction Location <i>Note: A change to the Industry Code and/or # of Employees may be reflected with this change.</i>	Y	PE	04	32	95	Employer has changed the UI Number for an employer operating in the Jurisdiction but having no physical address in the Jurisdiction (e.g., Interstate common carriers) and is covered by the subject policy.	5-3-8 C-8
			05	32	95		
Change Employer Demographics – Employer Locations within Jurisdiction (Name, Address, SIC Code, # of Employees)	Y	PE	04	32	85	Employer has changed demographic information for all or specific locations covered by the subject policy. Employer has reported changes in the employers business which affects the Coverage for all or specific locations covered by the subject policy.	5-3-9 C-9
			05	32	85		
Change Employer Demographics – Employer with no Jurisdiction Location (Name, Address, SIC Code, # of Employees) <i>Note: A change to the Industry Code and/or # of Employees may be reflected with this change</i>	Y	PE	04	32	94	Employer name has changed for an employer operating in the Jurisdiction but having no physical address in the Jurisdiction (e.g., Interstate common carriers) and is covered by the subject policy.	5-3-9 C-9
			05	32	94		
DELETION OF COVERAGE							
Delete Jurisdiction No Longer Covered by Carrier/Insurer	Y	I	00	33	73	Carrier/Insurer no longer covers an employer Jurisdiction location with an existing policy and the policy no longer reflects any Jurisdiction business.	5-4-1 D-1
Delete Employer Locations within Jurisdiction	Y	E/M	00	33	56	Carrier/Insurer no longer covers an employer Jurisdiction location with an existing policy.	5-4-2 D-2

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Transaction		Jurisdiction Accepted Triplicates (Y / N)	Sub Type Code	Trans Set Purp Code	Trans Set Type Code	Trans Reas Code	Business Assumption	File Processing Examples Scenario #
Delete Employer with No Jurisdiction Location		Y	E/M	00	33	87	Carrier/Insurer no longer covers an employer operating in the Jurisdiction but having no physical address in the Jurisdiction (e.g., Interstate common carriers) with an existing policy.	5-4-2 D-2
CANCELLATION OF COVERAGE								
Policy Cancelled by Carrier/Insurer	Non Payment	Y	E/M	00	41	59	Policy canceled by Carrier/Insurer for cause. Contract Terminated. Employer uninsured.	5-5-1 X-1
	Underwriting Reason			00	41	64		
	Revocation of Voluntary Market Acceptance			00	41	66		
	Failure to Pay Deductible			00	41	69		
	Misrepresentation on Application			00	41	70		
	Rewrite/Reissue			00	41	71		

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Transaction		Jurisdiction Accepted Triplicates (Y / N)	Sub Type Code	Trans Set Purp Code	Trans Set Type Code	Trans Reas Code	Business Assumption	File Processing Examples Scenario #
Policy Cancelled by Insured	Reason Unknown	Y	I	00	42	01	Policy canceled by insured for cause. Contract terminated. Employer uninsured.	5-5-2 X-2
	Out of Business			00	42	45		
	Coverage Placed Elsewhere			00	42	60		
	Duplicate Coverage			00	42	61		
	Change of Ownership			00	42	62		
	Business Sold			00	42	63		
	No Employees/No Exposure/No Operations			00	42	65		
REINSTATEMENT OF COVERAGE								
Carrier/Insurer Reinstates Policy		Y	I	00	70	01	Carrier/Insurer has canceled policy for cause but has now reconciled the dispute with the insured. Carrier/Insurer reinstates the policy for the original term. Effective date may indicate a gap in coverage.	5-6-1 R-1

Submission
Type Code
Legend:

*Code	Description
A	Requires a single insured record and employer records for all jurisdiction locations.
E/M	Requires a single insured record and one or more employer records for the impacted jurisdiction as agreed to in the Trading Partner Agreement.
EN/M	Requires a single insured record and any employer record(s) for employers operating in or through the state and not having a physical location in the state
I	Requires a single insured record only.
PI	Required paired insured records only.
PE	Requires paired insured records with one corresponding employer record for the impacted jurisdiction location.

SECTION 4
IAIABC PROOF OF COVERAGE RELEASE 2.1 STANDARDS:
TRANSACTION OVERVIEW

Transaction		Jurisdiction Accepted Triplicates (Y / N)	Sub Type Code	Trans Set Purp Code	Trans Set Type Code	Trans Reas Code	Business Assumption	File Processing Examples Scenario #
NON-RENEWAL OF COVERAGE								
Policy Non-Renewed by Carrier/Insurer -	Underwriting discretion	Y	E/M	00	60	64	Carrier/Insurer has chosen not to renew the policy at the end of its term. Employer uninsured.	5-7-1 Z-1
	Non payment**			00	60	59		
Policy Non-Renewed by Insured	Reason Unknown	Y	I	00	60	01	Insured has chosen not to renew the policy at the end of its term. Employer uninsured.	5-7-2 Z-2
	Out of Business			00	60	45		
	Coverage Placed Elsewhere			00	60	60		
	Change of Ownership			00	60	62		
	Business Sold			00	60	63		
	No Employees/ No Exposure/ No Operations			00	60	65		

** Limited to Release 2.1

Submission
Type Code
Legend:

*Code	Description
A	Requires a single insured record and employer records for all jurisdiction locations.
E/M	Requires a single insured record and one or more employer records for the impacted jurisdiction as agreed to in the Trading Partner Agreement.
EN/M	Requires a single insured record and any employer record(s) for employers operating in or through the state and not having a physical location in the state
I	Requires a single insured record only.
PI	Required paired insured records only.
PE	Requires paired insured records with one corresponding employer record for the impacted jurisdiction location.

NWCC ELECTRONIC TRANSMISSION PROFILE RECEIVER'S SPECIFICATIONS (Proof of Coverage)

Receiver Name: Nebraska Workers' Compensation Court **Date:** 06/01/2005

Receiver Type: ☒ Jurisdiction ☐ Service Bureau ☐ Other _____

Receiver ID - FEIN: 470491233 **Postal Code (9 digits):** 68509-8908

Transaction Information				Acknowledgment Information		
IAIABC	Release/ Version	ANSI	Version	Acknowledgment Record	Mode (EDI/Paper/None)	Production Response Period
POC	2.1	N/A	N/A	AKP	EDI	DAILY

Transmission Frequencies:

☒ Daily
☐ Weekly Select Day: ☐ SUN ☐ MON ☐ TUE ☐ WED ☐ THU ☐ FRI ☐ SAT
☐ Monthly Select Day (1-31): _____
☐ Other: _____
 Transmission Cut-off Time (military): _____ Time Zone

Jurisdiction Approved Transmission Method(s): ☐ Network (VAN) ☐ Vendor ☒ FTP

Electronic Mailbox(es):

Network: N/A			Network: N/A		
	Test	Production		Test	Production
Mailbox Acct ID:	N/A	N/A	Mailbox Acct ID:	N/A	N/A
User ID:	N/A	N/A	User ID:	N/A	N/A
Message Class:	N/A	N/A	Message Class:	N/A	N/A

Jurisdiction Approved Vendor Software:

Vendor:	Software Name:
N/A	N/A

File Transfer Protocol:

Specifications	Receiver Requirements
IP Address/URL: See Trading Partner FTP instructions for detailed information	Contact Jurisdiction
User ID:	Contact Jurisdiction
Security Protocol: Secure Socket Layer (SSL) recommended	SSL
Certificates: Bi-Directional Exchange of digital certificates recommended	Bi-Directional Exchange Required
Auditing: Non-repudiation is recommended, i.e., the system must have an auditable tracking of transfers to/from each trading partner	Non-Repudiation
Encryption Level: 112 bit minimum recommended	128 bit

Flat File Record Delimiter: ☐ Carriage Return (CR) ☒ Carriage Return Line Feed (CRLF)

ANSI Information:

Segment Terminator:	N/A	ISA Information:	Test	Production
Data Element Separator:	N/A	Sender/Receiver Qualifier:	N/A	N/A
Sub-Element Separator:	N/A	Sender/Receiver ID:	N/A	N/A

NWCC PROOF OF COVERAGE STANDARDS: EVENT TABLE INSTRUCTIONS

Event Table Instructions

The Event Table is designed to provide information integral to understanding a receiving Jurisdiction's EDI reporting requirement. It relates EDI information to events and under what circumstances they are initiated. This includes the Jurisdiction's legislative mandates and rules affecting different reporting requirements based on various criteria. The table is used and controlled by the receiving Jurisdiction to convey the level of EDI reporting that is accepted.

Jurisdictions should review the Transaction Overview, Transaction Sequencing and Processing Rules documents as outlined in the applicable Proof of Coverage Implementation guide. It can be used to assist in completing the Event Table by having a reference to the Triplicate code meanings and scenarios, as well as the Jurisdiction's processing decision. The Jurisdiction must complete the Event Table by updating columns A through F on the Event Table spreadsheet.

Depending on the Jurisdiction's requirements, some table rows for specific Triplicate Codes may not be accepted by the Jurisdiction, if not relevant, indicate with an 'N/A' across columns A through F. Each row represents an event trigger. Multiple 'To' and 'From' dates may exist for each Transaction. A new row should be added when there are multiple date occurrences.

Note: The Event Table is not intended to be a thorough and comprehensive explanation of all Jurisdictions' requirements. Each Jurisdiction may have different statutory or rule requirements for filing POC Transactions.

Event Table Column Definitions:

- Triplicate Code
The combination of Transaction Set Purpose Code (DN0300), Transaction Set Type Code (DN0334) and Transaction Reason Code (DN0303) defines the specific purpose (event) for which the transaction is being sent (triggered). Only adopted IAIABC codes can be used.
- Event Type
This is a text description of the Transaction/Event that triggers the required report.
- Event Rule Date
Rule dates are used to express differences in reporting requirements based on Jurisdiction rules/regulations for reporting. The 'From' date indicates the date that the rule went into effect, and the 'Thru' date indicates the end date for the rule. The 'Thru' date is only used when a new rule replaces the current rule, so if there are no situations that require multiple rules, only the 'From' date should be indicated. In cases where these multiple rules exist, each must be expressed on the Event Table as a separate row.
 - (A) From
The Start Date for this rule as defined by the Jurisdiction.
 - (B) Thru
The End Date for this rule. (Thru is only used when a new rule replaces this one, if not applicable then indicate with an 'N/A').
- Transaction Due
 - (C) Trigger Criteria Codes
List the events that trigger a specific transaction and cause it to be submitted. If there are multiple events that trigger a Transaction Type, then each event trigger must be listed as a separate rule.

Event Trigger Criteria is pre-populated on the Event Table based on the limitations illustrated below. Binder Trigger Criteria should be inserted based on the applicable criteria code.

NWCC PROOF OF COVERAGE STANDARDS: EVENT TABLE INSTRUCTIONS

<u>Trigger Criteria Codes*</u>	<u>Limited to Event Type</u>
A Application for Workers' Compensation Insurance policy not ready for release	Binders
B Application for Workers' Compensation Insurance policy ready for release	New Policies
C Policy is expiring, renewal not ready for release	Binders
D Policy is expiring, renewal policy ready for release	Renewals
E Notification from insured	Endorsements
F Key field change made to policy (change carrier within group, policy number and/or policy effective date)	Changes
G Cancellation of policy	Cancellations
H Policy is reinstated	Reinstatements
J Policy has been re-written with a new policy number	Rewrite/reissue
K Non-renewal of policy	Non-Renewals

- (D) Value (# of days)
The number of days used to qualify or define the point 'From' which the transaction is due based upon the Type using the Jurisdiction's reporting requirements.
- (E) Type
How to determine the numbers of days used in column 'D'.
B = Business Days, C = Calendar Days
- (F) From
The criteria that determines the latest date that a transaction must be completed and submitted for a specific triggered event to be considered timely. Usually reflects Jurisdiction's statute, regulation or rule.

Transaction Due Codes

- 1** From Policy Effective Date
- 2** From Change/Endorsement Processed Date
- 3** Before Cancellation Effective Date
- 4** Before Non-Renewal Effective Date
- 5** From Reinstatement Effective Date
- 6** From Rewrite/Reissue Processed Date

NWCC PROOF OF COVERAGE STANDARDS: EVENT TABLE INSTRUCTIONS

Examples:

Binder:

Beginning on 1/1/2005, Proof of Coverage information is required by the Jurisdiction by the 30th calendar day after the Policy Effective Date. If policy is not ready for release, a Binder transaction is due within 30 calendar days from the Policy Effective Date. The New Policy or, if for a non-continuous coverage Jurisdiction, the Renew Policy transaction must be submitted as soon as it is available

New Policy Example using Trigger Criteria Code type - A

				(A)	(B)	(C)	(D)	(E)	(F)
Triplicate Code			Event Type	Event Rule Date		Transaction Due?			
Transaction Set Purpose	Transaction Set Type	Transaction Reason	Description	From	Thru	Trigger Criteria*	Value	Type**	Due***
00	05	01	Binder - Employers/Locations	01/01/96		A	30	C	1

Renew Policy Example using Trigger Criteria Code type - C

				(A)	(B)	(C)	(D)	(E)	(F)
Triplicate Code			Event Type	Event Rule Date		Transaction Due?			
Transaction Set Purpose	Transaction Set Type	Transaction Reason	Description	From	Thru	Trigger Criteria*	Value	Type**	Due***
00	05	01	Binder - Employers/Locations	01/01/96		C	30	C	1

New Policy:

Beginning on 1/1/2005, Proof of Coverage information for new business policies are required to be reported to the Jurisdiction by the 30th calendar day after the Policy Effective Date, unless a Binder had previously been submitted to the Jurisdiction

				(A)	(B)	(C)	(D)	(E)	(F)
Triplicate Code			Event Type	Event Rule Date		Transaction Due?			
Transaction Set Purpose	Transaction Set Type	Transaction Reason	Description	From	Thru	Trigger Criteria*	Value	Type**	Due***
00	10	01	New Business – Employers/Locations	01/01/96		B	30	C	1

NWCC PROOF OF COVERAGE STANDARDS: EVENT TABLE INSTRUCTIONS

Renewal:

Beginning on 1/1/2005, renewal policies are required to be reported to the Jurisdiction by the 30th calendar day after the Policy Effective Date, unless a Binder had previously been submitted to the Jurisdiction

				(A)	(B)	(C)	(D)	(E)	(F)
Triplicate Code			Event Type	Event Rule Date		Transaction Due?			
Transaction Set Purpose	Transaction Set Type	Transaction Reason	Description	From	Thru	Trigger Criteria*	Value	Type**	Due***
00	20	01	Original – Renewal Policy – Employers/Locations	01/01/96		D	30	C	1

Endorsement:

Beginning on 1/1/2005, the addition of the Jurisdiction to a policy is required to be reported to the Jurisdiction by the 30th calendar day after the change has been made to the policy by the carrier/insurer

				(A)	(B)	(C)	(D)	(E)	(F)
Triplicate Code			Event Type	Event Rule Date		Transaction Due?			
Transaction Set Purpose	Transaction Set Type	Transaction Reason	Description	From	Thru	Trigger Criteria*	Value	Type**	Due***
00	31	72	Add Jurisdiction – Employers/Locations	01/01/96		E	30	C	2

Rewrite/Reissue:

Beginning on 1/1/2005, the addition of the Jurisdiction to a policy is required to be reported to the Jurisdiction by the 30th calendar day after the change has been made to the policy by the carrier/insurer

				(A)	(B)	(C)	(D)	(E)	(F)
Triplicate Code			Event Type	Event Rule Date		Transaction Due?			
Transaction Set Purpose	Transaction Set Type	Transaction Reason	Description	From	Thru	Trigger Criteria*	Value	Type**	Due***
00	50	01	Rewrite/Reissue Policy – Employers/Locations	01/01/96		J	30	C	6

NWCC PROOF OF COVERAGE STANDARDS: EVENT TABLE INSTRUCTIONS

Change:

Beginning on 1/1/2005, the Jurisdiction requires a all changes for insured name, address, telephone number, legal status, governing class code, total payroll, business market, wrap-up indicator, assignment date, Employee Leasing Policy Identification and Minimum Premium Policy Indicator be reported within 30 business days after the change has been made to the policy by the carrier/insurer

				(A)	(B)	(C)	(D)	(E)	(F)
Triplicate Code			Event Type	Event Rule Date		Transaction Due?			
Transaction Set Purpose	Transaction Set Type	Transaction Reason	Description	From	Thru	Trigger Criteria*	Value	Type**	Due***
00	32	84	Change Misc. Insured Information	01/01/96		F	30	B	2

Cancellation:

Beginning on 1/1/2005, the cancellation of a policy due to non-payment of premium is required to be reported to the Jurisdiction at least 10 business days before the cancellation takes effect. Date notice sent to Employer or Insured must also be provided

				(A)	(B)	(C)	(D)	(E)	(F)
Triplicate Code			Event Type	Event Rule Date		Transaction Due?			
Transaction Set Purpose	Transaction Set Type	Transaction Reason	Description	From	Thru	Trigger Criteria*	Value	Type**	Due***
00	41	59	Cancellation by carrier/insurer - non-payment of premium	01/01/96		G	10	B	3

Reinstatement:

Beginning on 1/1/2005, the reinstatement of a policy after a cancellation or non-renewal is required to be reported to the Jurisdiction within 30 calendar days after the reinstatement effective date

				(A)	(B)	(C)	(D)	(E)	(F)
Triplicate Code			Event Type	Event Rule Date		Transaction Due?			
Transaction Set Purpose	Transaction Set Type	Transaction Reason	Description	From	Thru	Trigger Criteria*	Value	Type**	Due***
00	70	01	Reinstate Policy	01/01/96		H	30	C	5

IAIABC Proof of Coverage Event Table

2.1 Business Scenario reference****						(A)	(B)	(C)	(D)	(E)	(F)
		Triplicate Code			Event Type	Event Rule Date		Transaction Due?			
		Transaction Set Purpose	Transaction Set Type	Transaction Reason	Description of Transaction Type and Transaction Reason Code	From	Thru	Trigger Criteria*	Value	Type**	Due***
NOTIFICATION OF COVERAGE											
N-1, N-2, N-7		00	05	01	Binder – Employer Locations within Jurisdiction	7/1/1997		A	10	C	1
N-3		00	05	80	Binder – Insured has No Physical Location within Jurisdiction	7/1/1997		A	10	C	1
N-4		00	05	86	Binder – Employers with No Physical Address, but Operating within the Jurisdiction	7/1/1997		A	10	C	1
N-1, N-2, N-7		00	05	01	Binder for Renewal - Employer Locations within Jurisdiction	7/1/1997		C	10	C	1
N-3		00	05	80	Binder for Renewal - Insured has No Physical Location within Jurisdiction	7/1/1997		C	10	C	1
N-4		00	05	86	Binder for Renewal - Employers with No Physical Address, but Operating within the Jurisdiction	7/1/1997		C	10	C	1
N-1, N-2, N-7		00	10	01	New Policy – Employer Locations within Jurisdiction	7/1/1997		B	10	C	1
N-3		00	10	80	New Business – Insured has No Physical Location within Jurisdiction	7/1/1997		B	10	C	1
N-4		00	10	86	New Business – Employers with No Physical Address, but Operating within the Jurisdiction	7/1/1997		B	10	C	1
N-1, N-2, N-7		00	20	01	Renewal – Employer Locations within Jurisdiction	7/1/1997		D	10	C	1
N-3		00	20	80	Renewal – Insured has No Physical Location within Jurisdiction	7/1/1997		D	10	C	1
N-4		00	20	86	Renewal – Employers with No Physical Address, but Operating within the Jurisdiction	7/1/1997		D	10	C	1
N-5		00	31	72	Endorsement - Notifying a New Jurisdiction when a New Location is added to Existing Policy	7/1/1997		E	10	C	2
N-6		00	31	80	Endorsement - Notifying a New Jurisdiction when a New Employer with No Jurisdiction location is added to Existing Policy	7/1/1997		E	10	C	2
N-1, N-2, N-7		00	50	01	Rewrite/Reissue – Employer Locations within Jurisdiction	7/1/1997		J	10	C	1
N-3		00	50	80	Rewrite/Reissue – Insured has No Physical Location within Jurisdiction	7/1/1997		J	10	C	1
N-4		00	50	86	Rewrite/Reissue – Employers with No Physical Address, but Operating within the Jurisdiction	7/1/1997		J	10	C	1

IAIABC Proof of Coverage Event Table

2.1 Business Scenario reference****						(A)	(B)	(C)	(D)	(E)	(F)
		Triplicate Code			Event Type	Event Rule Date		Transaction Due?			
		Transaction Set Purpose	Transaction Set Type	Transaction Reason	Description of Transaction Type and Transaction Reason Code	From	Thru	Trigger Criteria*	Value	Type**	Due***
ADDITION TO COVERAGE											
A-1	Paired	04	32	76	Add New Insured FEIN	7/1/1997		F	10	C	2
		05	31			7/1/1997			10	C	2
A-2		00	32	67	Submitting Corporate Officer/Partner/Sole Proprietor - Inclusion	7/1/1997		E	10	C	2
A-2		00	32	68	Submitting Corporate Officer/Partner/Sole Proprietor - Exclusion	7/1/1997		E	10	C	2
A-3		00	31	54	Add New Employer – Add (Location in Jurisdiction)	7/1/1997		E	10	C	2
A-3	Conditional	00	31	86	Add New Employer – Add (Insured in Jurisdiction, Employer Not)	7/1/1997		E	10	C	2
A-3		00	31	87	Add Employer – Add (Insured and Employer not in Jurisdiction)	7/1/1997		E	10	C	2
CHANGE OF EXISTING COVERAGE											
C-1	Paired	04	32	83	Change Carrier/Insurer FEIN	7/1/1997		F	10	C	2
		05				7/1/1997			10	C	2
C-2	Paired	04	33	76	Correct Insured FEIN	7/1/1997		F	10	C	2
		05	32			7/1/1997			10	C	2
C-3	Paired	04	32	79	Change Policy Number	7/1/1997		F	10	C	2
		05				7/1/1997			10	C	2
C-4	Paired	04	32	81	Correct Erroneous Policy Effective Date	7/1/1997		F	10	C	2
		05				7/1/1997			10	C	2
C-5	Paired	04	32	82	Correct Erroneous Expiration Date	7/1/1997		F	10	C	2
		05				7/1/1997			10	C	2
C-6		00	32	84	Change Insured Demographics	7/1/1997		F	10	C	2
C-7	Paired	04	32	77	Change Employer FEIN - Employer Locations within Jurisdiction	7/1/1997		F	10	C	2
		05				7/1/1997			10	C	2
C-7	Paired	04	32	96	Change Employer FEIN – Employer with No Jurisdiction Location	7/1/1997		F	10	C	2
		05				7/1/1997			10	C	2
C-8	Paired	04	32	78	Change Employer UI Number- Employer Locations within Jurisdiction	7/1/1997		F	10	C	2
		05				7/1/1997			10	C	2
C-8	Paired	04	32	95	Change Employer UI Number - Employer with No Jurisdiction Location	7/1/1997		F	10	C	2
		05				7/1/1997			10	C	2
C-9	Paired	04	32	85	Change Employer Demographics - Employer Locations within Jurisdiction	7/1/1997		F	10	C	2
		05				7/1/1997			10	C	2
C-9	Paired	04	32	94	Change Employer Demographics - Employer with No Jurisdiction Location	7/1/1997		F	10	C	2
		05				7/1/1997			10	C	2

IAIABC Proof of Coverage Event Table

2.1 Business Scenario reference****						(A)	(B)	(C)	(D)	(E)	(F)
		Triplicate Code			Event Type	Event Rule Date		Transaction Due?			
		Transaction Set Purpose	Transaction Set Type	Transaction Reason	Description of Transaction Type and Transaction Reason Code	From	Thru	Trigger Criteria*	Value	Type**	Due***
DELETION OF COVERAGE											
D-1		00	33	73	Delete Jurisdiction No Longer Covered by Carrier/Insurer	7/1/1997		E	10	C	2
D-2		00	33	56	Delete Employer Locations within Jurisdiction	7/1/1997		E	10	C	2
D-2		00	33	87	Delete Employer with No Jurisdiction Location	7/1/1997		E	10	C	2
CANCELLATION OF COVERAGE											
X-1	By carrier	00	41	59	Policy Cancelled by Carrier/Insurer - Non-Payment	7/1/1997		G	10	C	3
X-1		00	41	64	Policy Cancelled by Carrier/Insurer - Underwriting Reason	7/1/1997		G	30	C	3
X-1		00	41	66	Policy Cancelled by Carrier/Insurer - Revocation of Voluntary Market Acceptance	7/1/1997		G	30	C	3
X-1		00	41	69	Policy Cancelled by Carrier/Insurer - Failure to Pay Deductible	7/1/1997		G	10	C	3
X-1		00	41	70	Policy Cancelled by Carrier/Insurer - Misrepresentation on Application	7/1/1997		G	30	C	3
X-1		00	41	71	Policy Cancelled by Carrier/Insurer - Rewrite/Reissue	7/1/1997		G	30	C	3
X-2	By insured	00	42	01	Policy Cancellation by Insured – Reason Unknown	7/1/1997		G	10	C	3
X-2		00	42	45	Policy Cancellation by Insured – Out of Business	7/1/1997		G	10	C	3
X-2		00	42	60	Policy Cancellation by Insured - Coverage Placed Elsewhere	7/1/1997		G	10	C	3
X-2		00	42	61	Policy Cancellation by Insured – Duplicate Coverage	7/1/1997		G	10	C	3
X-2		00	42	62	Policy Cancellation by Insured – Change of Ownership	7/1/1997		G	10	C	3
X-2		00	42	63	Policy Cancellation by Insured – Business Sold	7/1/1997		G	10	C	3
X-2		00	42	65	Policy Cancellation by Insured - No Employees/No Exposure/No Operations	7/1/1997		G	10	C	3
REINSTATEMENT OF COVERAGE											
R-1		00	70	01	Carrier/Insurer Reinstates Policy	7/1/1997		H	10	C	5

IAIABC Proof of Coverage Event Table

2.1 Business Scenario reference****						(A)	(B)	(C)	(D)	(E)	(F)
		Triplicate Code			Event Type	Event Rule Date		Transaction Due?			
		Transaction Set Purpose	Transaction Set Type	Transaction Reason	Description of Transaction Type and Transaction Reason Code	From	Thru	Trigger Criteria*	Value	Type**	Due***
NON-RENEWAL OF COVERAGE											
Z-1	By carrier	00	60	59	Policy Non-Renewed by Carrier/Insurer – Non-Payment	7/1/1997		K	10	C	4
Z-1		00	60	64	Policy Non-Renewed by Carrier/Insurer – Underwriter discretion	7/1/1997		K	30	C	4
Z-2	By insured	00	60	01	Policy Non-Renewed by insured - Reason Unknown	7/1/1997		K	30	C	4
Z-2		00	60	45	Policy Non-Renewed by insured - Out of Business	7/1/1997		K	30	C	4
Z-2		00	60	60	Policy Non-Renewed by insured - Coverage Placed Elsewhere	7/1/1997		K	30	C	4
Z-2		00	60	62	Policy Non-Renewed by insured - Change of Ownership	7/1/1997		K	30	C	4
Z-2		00	60	63	Policy Non-Renewed by insured - Business Sold	7/1/1997		K	30	C	4
Z-2		00	60	65	Policy Non-Renewed by insured - No Employees/No Exposure/No Operations	7/1/1997		K	30	C	4
Trigger Criteria Codes*							Type **				
A = Application for Workers' Compensation Insurance policy not ready for release							B = Business Days				
B = Application for Workers' Compensation Insurance policy ready for release							C = Calendar Days				
C = Policy is expiring, renewal not ready for release											
D = Policy is expiring, renewal policy ready for release											
E = Notification from insured											
F = Key field change made to policy (change carrier within group, policy number and/or policy effective date)											
G = Cancellation of policy											
H = Policy is reinstated											
J = Policy has been re-written with a new policy number											
K = Non-renewal of policy											
Transaction Due Codes***					2.1 Business Scenario reference****						
1 = From Policy Effective Date					These Scenarios are specific to Rel 2.1, for other Scenario References						
2 = From Change/Endorsement Processed Date					refer to the Scenario Crosswalk table						
3 = Before Cancellation Effective Date											
4 = Before Non-Renewal Effective Date											
5 = From Reinstatement Effective Date											
6 = From Rewrite/Reissue Processed Date											

IAIABC Proof of Coverage Release 2.1

Element Requirement Table Introduction

Introduction:

The Element Requirement Table is a tool to communicate a Jurisdiction's business data element requirements for each of its Trading Partners. The Element Requirement Table must be completed for each Transaction (Triplicate Code) that applies to the Jurisdiction's reporting requirements. This allows for data element requirements to be defined for each record layout and down to the level of each Transaction.

When completing the Element Requirement Table, consideration should be given to the point in time when the data was required by statute, rule or current version of EDI. If a data element has not always been required to be reported, but is required now, it should be listed as Mandatory Conditional (MC) on the Element Requirement Table, and the condition should identify that from a specific date this data element is mandatory, but prior to that date, the data element is Not Applicable (NA). Data elements intended to be used to match a Transaction to the Jurisdiction's database should be expressed listed as Mandatory (M).

When a Jurisdiction makes a change to their Element Requirement Table that requires new elements or functionality, the Jurisdiction should make every attempt to give all Trading Partners at least 180 days notice to allow for program changes and staff notification/training.

IMPORTANT NOTE:

To simplify completion, Jurisdictions should use their completed Event Table to "hide" Transactions that will not be accepted prior to completing the Element Requirement Table. This is done by highlighting the column or row, right click and select *HIDE*. Deletion may complicate adding transactions later.

Some cells in the Element Requirement Table are pre-populated with *Requirement Rules for Code Values*. Specifically, data elements indicated with a value of Fatal Technical (F) or Exclude (X), cannot be changed by the Jurisdiction because they are necessary for technical processing or do not apply to the Transaction. Some conditional values have been indicated by a character and apply only if the defined condition exists (see below for exceptions). These conditions are defined in the *Conditional Element Requirement* section of the Element Requirement Table.

A *Requirement Code Value* must be entered at each cell marked by the intersection of a Transaction column and a Data Element row. Those cells that do not contain a value are open to Jurisdictions to assign a valid requirement code. **Special characters must be replaced with valid requirement codes.**

Each time a Mandatory/Conditional (MC) or Expected/Conditional (EC) requirement value is assigned by the Jurisdiction, the "conditional" data element number, data element name and/or the applicable conditions should be expressed in the *Conditional Element Requirement* section of the Element Requirement Table in addition to the pre-populated values.

Requirement Rules for Code Values:

M - Mandatory: The data element must be present and must be a valid format or the Transaction will be rejected.

MC - Mandatory/Conditional: The data element is normally optional, but becomes mandatory under conditions established by the receiver. If the defined condition exists, the data element becomes mandatory and mandatory rules apply (the data element must be present and must be a valid format or the Transaction will be rejected). (e.g. If the Business Market (DN0321) indicates Assigned Risk, then the Assignment Date (DN0325) may become mandatory.)

IAIABC Proof of Coverage Release 2.1 Element Requirement Table Introduction

E - Expected: The data element is expected on the Transaction, yet the Transaction will be accepted with errors should it fail any edit. If an "E" is designated, the Transaction will not be rejected if it is the only edit failure.

EC - Expected/Conditional: The data element becomes expected under conditions established by the receiver. The transaction would be accepted with errors should it fail any edit.

IA - If Available: Data may or may not be populated. If present, may be edited for valid value and/or format. Jurisdiction may or may not return an error on validity edits.

NA - Not Applicable: The data element may or may not be sent. If it is sent, edits may be applied, but unsuccessful edits do not error or reject a transaction.

R - Restricted: The data element value cannot be accepted if a stated condition exists, as defined by the Jurisdiction. (e.g. The Jurisdiction does not accept Transactions where the Employee Leasing Policy Indicator (DN0333) is 2, 3 or 4.)

Systems/Processing Requirement Codes

Note: This is a standards designation only; this code cannot be used by a Jurisdiction or be changed:

F - Fatal Technical: Data elements that are essential for a Transaction to be accepted by a Jurisdiction database or acknowledgment back to the Trading Partner.

X - Exclude: The data element is not applicable for the indicated Transaction. A Jurisdiction must not assign an element requirement value to these data elements as they do not apply and processing rules would not be applicable. (e.g. Employer Notification Date (DN0031) would not be applicable for a New Policy transaction).

Exceptions:

These characters represent Requirement Codes that must be changed by the Jurisdiction. You must assign either a valid requirement code or change to NA if not used.

- Only If Available (IA) or Not Applicable (NA) are valid Requirement codes for these elements.

@ - Only Mandatory/Conditional (MC), Expected/Conditional (EC), or Not Applicable (NA) are valid Requirement codes for these elements.

& - See Conditional requirements tab for specifications/restrictions on use.

Requirement Code	Result of Failed Element Requirement Edit
M (Mandatory)	TR (Transaction Rejected)
MC (Mandatory/Conditional)	TR (Transaction Rejected)
E (Expected)	TE (Transaction Accepted with Errors)
EC (Expected/Conditional)	TE (Transaction Accepted with Errors)
IA (If Available)	TE (Transaction Accepted with Errors)
N/A (Not Applicable)	TA (No error messages may be applied)
R (Restricted)	TR (Transaction Rejected)
F (Fatal)	TR (Transaction Rejected)
X (Exclude)	No error messages may be applied.

Usage: This table should be completed after the Event Table as it relates to events described on that table.

**NWCC Proof of Coverage
Element Requirement Table**

Data Element Number	Element Name	Record Type	FORMAT	M (Mandatory) MC (Mandatory/Conditional) E (Expectec) EC (Expected/Conditional) IA (If Available) NA (Not Applicable) R (Restricted) F (Fatal) X (Exclude)																Binder-w/Phys Loc	Binder-No Phys Loc	Binder-Emplr w/o Juris Addr	New Policy-w/Phys Loc	New Policy-No Phys Loc	New Policy-Emplr w/o Juris Addr	Renewal-w/Phys Loc	Renewal-No Phys Loc	Renewal-Emplr w/o Juris Addr	Change Employer Name, Address, Industry Code, IA of Employees	Change Name of Employer w/no Jurisd addr	Change Insd Level data elements	Change Employer FEIN	Change FEIN of Employer w/no Jurisd addr	Change Employer UI	Change Employer UI of Employer w/no Jurisd addr	Change Policy Number
	Element Requirements by Transaction (Triplicate Codes) Table																																			
	Applicable Triplicate Codes (Y/N)			Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y			
DN0001	Transaction Set ID	PC1	3 A/N	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F			
DN0107	Record Sequence Number	PC1	9 N	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F			
DN0300	Transaction Set Purpose Code	PC1	2 A/N	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F			
DN0302	Jurisdiction Designee Rec'd Date	PC1	DATE	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M			
DN0002	Transaction Set Type Code	PC1	2 A/N	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F			
DN0303	Transaction Reason Code	PC1	2 A/N	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F			
DN0304	Transaction Set Type Effic. Date	PC1	DATE	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F			
DN0006	Insurer FEIN	PC1	9 A/N	F	F	F	F	F	F	F	F	F	F	IA	F	IA	F	F	IA	F	IA	F	IA	F	IA	F	IA	F	IA	F	IA	F	IA			
DN0007	Insurer Name	PC1	30 A/N	M	M	M	M	M	M	M	M	M	M	IA	M	IA	M	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA			
DN0305	Issuing Office Name	PC1	30 A/N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA		
DN0306	Issuing Office Address 1	PC1	30 A/N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0307	Issuing Office Address 2	PC1	30 A/N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0308	Issuing Office City	PC1	30 A/N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0309	Issuing Office State	PC1	2 A/N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0310	Issuing Office Postal Code	PC1	2 A/N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0311	Issuing Agency Name	PC1	30 A/N	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA			
DN0312	Issuing Agency City	PC1	30 A/N	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA			
DN0313	Issuing Agency State	PC1	2 A/N	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA			
DN0314	Insured FEIN	PC1	9 A/N	M	M	M	M	M	M	M	M	M	M	IA	M	IA	M	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA			
DN0017	Insured Name	PC1	90 A/N	M	M	M	M	M	M	M	M	M	M	IA	M	IA	M	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA			
DN0315	Insured Address 1	PC1	30 A/N	M	M	M	M	M	M	M	M	M	M	IA	M	IA	M	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA			
DN0316	Insured Address 2	PC1	30 A/N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0317	Insured City	PC1	30 A/N	M	M	M	M	M	M	M	M	M	M	IA	M	IA	M	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA			
DN0318	Insured State	PC1	2 A/N	M	M	M	M	M	M	M	M	M	M	IA	M	IA	M	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA			
DN0319	Insured Postal Code	PC1	2 A/N	M	M	M	M	M	M	M	M	M	M	IA	M	IA	M	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA			
DN0320	Insured Telephone	PC1	10 A/N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0321	Business Market	PC1	1 A/N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0322	Wrap-up Indicator	PC1	1 A/N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0323	Insured Legal Status	PC1	2 A/N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0028	Policy Number	PC1	18 A/N	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F			
DN00333	Employee Leasing Policy Identifier	PC1	1 A/N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN00332	Minimum Premium Indicator	PC1	1 A/N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0029	Policy Effective Date	PC1	DATE	F	F	F	F	F	F	F	F	F	IA	F	IA	F	F	IA	F	IA	F	IA	F	IA	F	IA	F	IA	F	IA	F	IA	F			
DN0030	Policy Expiration Date	PC1	DATE	M	M	M	M	M	M	M	M	M	IA	M	IA	M	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M	IA	M			
DN0324	Prior Policy Number	PC1	18 A/N	IA	IA	IA	IA	IA	IA	IA	MC	MC	MC	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0325	Assignment Date	PC1	DATE	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0004	Jurisdiction	PC1	2 A/N	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F			
DN0326	Governing Class	PC1	4 A/N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0327	Total Payroll	PC1	11 N	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0328	Number of Employers	PC1	4 N	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F			
DN0335	Transaction Issue Date	PC1	DATE	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA			
DN0001	Transaction Set ID	PC2	3 A/N	F	X	F	F	X	F	F	X	F	F	F	F	F	F	X	F	F	F	F	F	F	F	F	F	F	F	F	X	X				
DN0107	Record Sequence Number	PC2	9 N	F	X	F	F	X	F	F	X	F	F	F	F	F	F	X	F	F	F	F	F	F	F	F	F	F	F	F	X	X				
DN0016	Employer FEIN	PC2	9 A/N	M	X	M	M	X	M	M	X	M	M	M	M	M	X	M	M	M	M	M	M	M	M	M	M	M	M	M	X	X				
DN0329	Employer UI Code	PC2	15 A/N	IA	X	IA	IA	X	IA	IA	X	IA	IA	IA	IA	IA	X	IA	IA	IA	IA	X	IA	IA	IA	IA	IA	IA	IA	IA	X	X				

[illegible]

Data Element Number	Element Name	Record Type	<div>M (Mandatory) MC (Mandatory/Conditional) E (Expectec) EC (Expected/Conditional) IA (If Available) NA (Not Applicable) R (Restricted) F (Fatal) X (Exclude)</div>																			
			Canc-Insr/Revoc of Vol Mkt Accept	Canc-Insrd/Cov Placed Elsewhere	Canc-Insrd/Duplicate Coverage	Canc-Insrd/Business Sold	Canc-Insrd/Change of Ownership	Canc-Insrd/ No Employees/ No Exp/No Ops	Canc-Insrd/Out of Business	Canc-Insrd/Reason Unknown	Non-Renew-Insrd/Cov Placed Elsewhere	Non-Renew-Insrd/Business Sold	Non-Renew-Insrd/Change of Ownership	Non-Renew-Insrd/ No Employees/ No Exp/No Ops	Non-Renew-Insrd/Reason Unknown	Non-Renew-Insrd/Out of Business	Non-Renewal-Insurer/Non-Payment	Non-Renew-Insrd/Underwriting Discretion	Reinstatement	Rewrite/Reissue-w/Phys Loc	Rewrite/Reissue-No Phys Loc	Rewrite/Reissue-Empplr w/o Juris Addr
	Element Requirements by Transaction (Triplicate Codes) Table		00-41-66	00-42-60	00-42-61	00-42-63	00-42-62	00-42-65	00-42-45	00-42-01	00-60-60	00-60-63	00-60-62	00-60-65	00-60-01	00-60-45	00-60-59	00-60-64	00-70-01	00-50-01	00-50-80	00-50-86
	Applicable Triplicate Codes (Y/N)		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
DN0001	Transaction Set ID	PC1	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F
DN0107	Record Sequence Number	PC1	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F
DN0300	Transaction Set Purpose Code	PC1	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F
DN0302	Jurisdiction Designee Rec'd Date	PC1	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M
DN0002	Transaction Set Type Code	PC1	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F
DN0303	Transaction Reason Code	PC1	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F
DN0304	Transaction Set Type Effec. Date	PC1	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F
DN0006	Insurer FEIN	PC1	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F
DN0007	Insurer Name	PC1	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M
DN0305	Issuing Office Name	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0306	Issuing Office Address 1	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0307	Issuing Office Address 2	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0308	Issuing Office City	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0309	Issuing Office State	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0310	Issuing Office Postal Code	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0311	Issuing Agency Name	PC1	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
DN0312	Issuing Agency City	PC1	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
DN0313	Issuing Agency State	PC1	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA
DN0314	Insured FEIN	PC1	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M
DN0017	Insured Name	PC1	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M
DN0315	Insured Address 1	PC1	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M
DN0316	Insured Address 2	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0317	Insured City	PC1	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M
DN0318	Insured State	PC1	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M
DN0319	Insured Postal Code	PC1	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M
DN0320	Insured Telephone	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0321	Business Market	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0322	Wrap-up Indicator	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0323	Insured Legal Status	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0028	Policy Number	PC1	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F
DN00333	Employee Leasing Policy Identifier	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN00332	Minimum Premium Indicator	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0029	Policy Effective Date	PC1	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F
DN0030	Policy Expiration Date	PC1	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M	M
DN0324	Prior Policy Number	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0325	Assignment Date	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0004	Jurisdiction	PC1	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F
DN0326	Governing Class	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0327	Total Payroll	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0328	Number of Employers	PC1	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F	F
DN0335	Transaction Issue Date	PC1	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA	IA
DN0001	Transaction Set ID	PC2	F	X	X	X	X	X	X	X	X	X	X	X	X	X	F	F	X	F	X	F
DN0107	Record Sequence Number	PC2	F	X	X	X	X	X	X	X	X	X	X	X	X	X	F	F	X	F	X	F
DN0016	Employer FEIN	PC2	M	X	X	X	X	X	X	X	X	X	X	X	X	X	M	M	X	M	X	M
DN0329	Employer UI Code	PC2	IA	X	X	X	X	X	X	X	X	X	X	X	X	X	IA	IA	X	IA	X	IA
DN0018	Employer Name	PC2	M	X	X	X	X	X	X	X	X	X	X	X	X	X	M	M	X	M	X	M
DN0019	Employer Address 1	PC2	M	X	X	X	X	X	X	X	X	X	X	X	X	X	M	M	X	M	X	X
DN0020	Employer Address 2	PC2	IA	X	X	X	X	X	X	X	X	X	X	X	X	X	IA	IA	X	IA	X	X
DN0021	Employer City	PC2	M	X	X	X	X	X	X	X	X	X	X	X	X	X	M	M	X	M	X	X
DN0022	Employer State	PC2	M	X	X	X	X	X	X	X	X	X	X	X	X	X	M	M	X	M	X	X
DN0023	Employer Postal Code	PC2	M	X	X	X	X	X	X	X	X	X	X	X	X	X	M	M	X	M	X	X
DN0025	Industry Code	PC2	IA	X	X	X	X	X	X	X	X	X	X	X	X	X	IA	IA	X	IA	X	IA
DN0330	Number of Employees	PC2	IA	X	X	X	X	X	X	X	X	X	X	X	X	X	IA	IA	X	IA	X	IA
DN0331	Employer Notify Date	PC2	M	X	X	X	X	X	X	X	X	X	X	X	X	X	M	M	X	X	X	X

**IAIABC
POC Data Element
Issuance Conditions**

CONDITIONAL REQUIREMENTS FOR ISSUANCES			
<i>IAIABC RECORDS</i>	<i>IAIABC DN</i>	<i>IAIABC DATA ELEMENT NAME</i>	<i>CONDITION(S)</i>
INSURED			
	DN0324	Prior Policy Number	Prior Policy Number is required on Renewals when modifying coverage for a new policy term to a previous existing policy that was received and accepted by the court.
EMPLOYER			
NOTE:	NE uses the 04 transaction as a "locate" record for locating a match for which to update data with the 05 transaction. Data elements with the If Available (IA) requirement code value must reflect the same information previously accepted and the 05 transaction must reflect the change.		
	NE will provide advance notification prior to changing IA data elements on 04 transactions to Mandatory (M) or Mandatory Conditional (MC) on its Element Requirements table should new business requirements be identified.		

IAIABC PROOF OF COVERAGE RELEASE 2.1 STANDARDS: EDIT MATRIX INSTRUCTIONS

Overview

Edits applied by a jurisdiction must be identified on the Jurisdiction's Edit Matrix to assist the sender in understanding the edits that will be applied and the data quality expected by the jurisdiction. The edits that are applied by the jurisdiction should be based on the IAIABC standards and on the jurisdiction's data requirements that were in place on the date of the policy, or the effective date of a statute or rule change and based on the requirements that are indicated on the Jurisdiction's Element Requirement Table. As such, it may be updated periodically to reflect any changes.

NOTE: *When a jurisdiction makes a change to its Element Requirement Table, Edit Matrix, Event Table or other document that requires new elements or functionality, it should give all Trading Partners at least 90 days notice to allow for program changes and staff notification/training. 90 days notice may not be required if edits are loosened, rather than tightened.*

The Matrix consists of 3 components:

1. **DN-Error Message** contains "standard" editing developed for R2.1 data elements.
2. **Value Table** expresses the jurisdiction's acceptable code values
3. **Population Restrictions** contains the jurisdiction's restrictions applied to the data element(s).

The Edit Matrix design conveys to the sender the edits that the jurisdiction will apply to each data element and the edits that will be applied based on population of the data element in the transaction. Editing results determine the outcome for processing the data into their system and communicate the results that will be returned in the Acknowledgment Record for each specific transaction.

Note: The receiver of the acknowledgment, where error(s) are indicated, should evaluate the error(s) and consider revisions to their system edits for data reporting for the specific data element. This will assist in improved data quality and reporting compliance not only for that specific transaction but also for future transactions where the specific data element(s) are sent.

In order for the jurisdiction to successfully convey the specific edits that will be applied, all components of the Edit Matrix should be completed using the guidelines described below.

1. **DN-Error Message:**

The *DN-Error Message* spreadsheet provides standard error messages to use in association with adopted edits for all data elements. In addition, it allows the Jurisdiction to elaborate on the data elements that have specific data population restrictions and/or accepted values. This will assist the trading partner in determining specifically what caused a specific error message.

Adopted IAIABC Proof of Coverage Release 2.1 Data Element Numbers and Data Element Names are listed down the left column with the Error Message Numbers and associated Error Message descriptions listed across the top of the table.

IAIABC PROOF OF COVERAGE RELEASE 2.1 STANDARDS: EDIT MATRIX INSTRUCTIONS

The spreadsheet is populated with edit defaults. These edit defaults illustrate standard error messages to use in association with adopted edits for all data elements.

Editing Defaults	Meaning
F	Fatal Technical: Those data elements with 'F' on the coordinate indicate Fatal Technical editing where the data elements are essential for a transmission/transaction to be accepted into a jurisdiction's workers compensation administration database or acknowledgment back to the sender
L	Logical Standard Edits: Those elements with 'L' on the coordinate are "logical" standard edits. These edits promote standard editing across jurisdictions

- a) **Collected Data Elements:** The completed Element Requirement table should be used to determine data elements that are collected.

Requirement Code in descending order of severity	
F	(Fatal)
R	(Restricted)
M	(Mandatory)
MC	(Mandatory/Conditional)
E	(Expected)
EC	(Expected/Conditional)
IA	(If Available)
NA	(Not Applicable)
X	(Exclude)

The **Applicable to Jurisdiction Requirements** column informs senders of editing that will or will not be applied to elements collected by the jurisdiction and should be completed as follows:

- Jurisdictions should not remove the pre-populated Fs; transactions cannot be successfully processed without applying standard edits to the elements.
- Requirement codes F, R, M, MC, E, EC: A "Y" should be inserted in the cell for each element with requirement codes more severe than "NA" (note: if any Triplicate Codes are indicated with a requirement code more severe than NA for the data element, suggested editing should be applied).
- Requirement code IA: A "Y" should be inserted in the cell if the jurisdiction intends to apply the "standard" editing to these data elements (editing of these data elements is optional).
- Requirement Code NA or IA: An "N" should be inserted in the cell if the jurisdiction does not collect the data element or does not intend to apply standard editing to data elements with the IA requirement code.

IAIABC PROOF OF COVERAGE RELEASE 2.1 STANDARDS: EDIT MATRIX INSTRUCTIONS

- b) **Applied edits:** Jurisdictions should remove edit defaults or add edits for each element indicated with a “Y” in the ***Applicable to Jurisdiction Requirements*** column, as outlined below, for edits that will/will not be executed. .

Examples (blank Edit Default):

- For each element indicated with a “M” or “MC” requirement code on the Element Requirement Table, an “L” should be inserted in the 001 – Mandatory field not present
- For each element indicated with an “E” or “EC” requirement code on the Element Requirement Table, an “L” should be inserted in the 108 – Expected field not present.

Examples (“L” Edit Default)

- If all Transaction Set Type Codes will accepted, the “L” at the intersection of DN0334 and error message 042 (Not Statutorily valid) should be removed.

Edit Defaults	Changes needed to Edit Matrix by jurisdiction
F	Include Edit: The jurisdiction <u>must not remove</u> the ‘F’ from data elements with an ‘F’ on the coordinate.
L	Include Edit: The jurisdiction <u>must not remove</u> the ‘L’ from data elements with an ‘L’ on the coordinate where the jurisdiction <u>will</u> apply the edit to the data element.
(Blank)	Include Edit: The jurisdiction <u>must insert</u> an ‘L’ on the coordinate for jurisdiction specific edits where the jurisdiction <u>will</u> apply an edit to the data element. Refer to <i>Jurisdiction Specific Editing</i> for detailed instructions.*
L	Exclude Edit: The jurisdiction <u>must remove</u> the ‘L’ for all data elements with an ‘L’ on the coordinate where the jurisdiction <u>will not</u> apply the edit to the data element.

Note: Jurisdictions should take into consideration that the Edit Matrix transaction set edits are established and adopted by the IAIABC to promote standardization across jurisdictions. If error message numbers are needed on the Proof Of Coverage R2.1 DN-Error Message spreadsheet in addition to the error messages presented, please contact the IAIABC and follow the IRR procedures for inclusion in the standards.

- b) **Jurisdiction Specific Editing:** There are several Error Messages that may be specific to the jurisdiction’s expectations based on their rules/regulations. For these Error Messages, the standard provides suggested edits, but these edits may not be all inclusive of the requirements that the jurisdiction needs to communicate. To elaborate on expected reported values, insert an “L” in the coordinate of the data element number and the applicable Error Message number to indicate that the edit will be applied to the data element. Insert a “P” in the ***Population Restrictions Indicator*** column to alert the sender to refer to the restrictions described in the ***Population Restrictions*** component of the Matrix.

- **Content Restrictions:** Population restrictions must be defined for each data element where the following edits are applied:

Error Message #	Error Message
042	Not Statutorily valid
111	Must be valid content

IAIABC PROOF OF COVERAGE RELEASE 2.1 STANDARDS: EDIT MATRIX INSTRUCTIONS

2. **Value Table:** The Value Table is a tool to assist a jurisdiction determine from the data elements with code values, which of those code values are:
- a) Code values that are 'Not Statutorily Valid'. These values are indicated with "grayed out" shading in Section 1.
 - b) Statutorily valid codes required by jurisdiction. The remaining values without highlighting.

The table design conveys to the sender, code values that are expected to be reported to the jurisdiction and values that will be rejected. It is intended to assist jurisdictions with completion of the Population Restriction Table when 042-Not Statutorily Valid edits are applied to data elements with a standard list of code values.

Using the completed Element Requirement Table, indicate that the element will be collected by inserting a 'Y' in the capture column for each data element with requirement codes more severe than "NA". (The data element is captured if any Triplicate Codes are indicated with a requirement code more severe than NA.). Insert "N" if the data element is not collected (NA) or the value will not be edited.

The Value Table contains a list of the 8 data elements where the IAIABC has defined specific code values. The list does not include technical data elements that are addressed elsewhere, elements that have Y/N values or contain external code lists (i.e., state codes, NAICS codes, etc.) because it is implied that all standard code values are acceptable if the element is captured. Description of adopted code values are provided in the Data Dictionary (Section 6) of the IAIABC Proof of Coverage Implementation Guide.

For each data element where a "Y" has been inserted into the "Capture" cell, leaving the code value in the cell apply the following:

Not Statutorily valid: Code values that are not accepted and will either cause the transaction to be rejected (TR) or an error to be returned (TE) depending on the requirement code for the data element on the Element Requirement Table. Indicate code values that are not accepted in your jurisdiction by leaving the value in the cell and highlighting the cell (Fill Color Gray - 25%).

For Example: If DN0323 - Insured Legal Status is **captured** in your jurisdiction, then the 12 IAIABC valid values should be evaluated by the jurisdiction. If any of the 12 standard values are not accepted in your jurisdiction, the inappropriate values should be grayed out in the applicable cell(s). If, for example the jurisdiction does not accept value '99', the '99' should be grayed out. The *Population Restriction* Table may indicate either of the following restriction descriptions for DN0323 - Insured Legal Status:

- The acceptable values are 01, 02, 03, 04, 05, 06, 10, 11, 12, 13 and 14.
- The unacceptable value is 99

Codes required by the jurisdiction: the remaining code values (not highlighted) are "statutorily valid" within the jurisdiction.

IAIABC PROOF OF COVERAGE RELEASE 2.1 STANDARDS: EDIT MATRIX INSTRUCTIONS

- 3. *Population Restrictions:*** Jurisdictions should utilize the Population Restrictions Table to elaborate on data elements' specific data population or accepted values for standard error messages. This will assist the trading partner in determining specifically what would cause a specific error message.

Using the completed Value Table, insert a "P" in the Population Restrictions Indicator column of the *DN-Error Message* table for each data element where there are code values that are grayed out (**not** accepted). Add the data element to the *Population Restrictions* table, describing the code value limitations that will be applied to the data. Described limitations with Error Message 042 can be based on the number of codes that are either valid or invalid, whichever is easier to illustrate, but does not necessarily need to be done the same for all data elements

For each data element where a "P" resides in Population Restrictions Indicator column, the Data Element Number (DN), Data Element Name and Error Message Number should be inserted into the *Populations Restrictions* table.

The Population Restriction column in the table should indicate the specific reason for the generation of the error messages indicated, including triplicate code limitation, if applicable.

IAIABC
Proof of Coverage Release 2.1
DN-Error Message Table

Sorted by Error Message & DN	<div>Edit Matrix Population Legend: F = Edit applies to the data elements deemed essential for a transmission/ transaction to be processed. L = *Not grayed out: Edit applies to the data elements based on the requirements indicated on the Element Requirement Table. L = *Grayed out: The standard edit will not be applied by the jurisdiction.</div> <div>Applicable to Jurisdiction's Requirements: F = Essential data element; must be edited for successful transaction processing Y = Yes - indicates that all edits marked for the data element will be applied N = No - indicates that all edits marked for the data elements will not be applied</div> <div>For Population Restrictions: For Data Elements that have certain 'population values' allowed for specific data elements, a "P" is indicated in the 'Population Restrictions Indicator' column and the associated data element population restriction is detailed in the Population Restrictions Table.</div> <div>Error Message</div>		Applicable to Jurisdiction Requirements	Population Restrictions Indicator	Mandatory field not present	All digits must be 0 – 9	Must be a valid date (CCYYMMDD)	Must be A - Z, 0 - 9, or spaces	Must be valid time	No match on database	All digits cannot be the same	Must be <= current date	Not statutorily valid	Duplicate Batch/Transaction	Code / ID invalid	Non-match data value not consistent with value previously reported	Event Table criteria not met	Invalid event sequence	Invalid data relationship	Corresponding report/data not found	Invalid record/transaction count	Must be >= Policy Effective Date	Must be <= Policy Expiration Date	No leading/embedded spaces	Invalid batch structure	Must be valid content	Must be <= Transaction Set Type Effective Date	Transaction not approved for production	Trading Partner not approved to submit data for Insurer/Claim Admin
DN	IAIABC Data Element Name		PR	001	028	029	030	031	039	040	041	042	057	058	059	061	063	064	065	066	067	068	100	106	111	115	116	118	
0000	Entire Transaction	Y											L				L	L	L					L					
0001	Transaction Set ID	F		F										L															
0004	Jurisdiction	F		F										L															
0006	Insurer FEIN	F	P	F	L				L	L															L				
0007	Insurer Name	Y		L																									
0016	Employer FEIN	Y	P	L	L				L	L															L				
0017	Insured Name	Y		L																									
0018	Employer Name	Y		L																									
0019	Employer Address Line 1	Y		L																									
0020	Employer Address Line 2	Y																											
0021	Employer City	Y		L																									
0022	Employer State	Y		L										L															
0023	Employer Postal Code	Y		L																									
0025	Industry Code	N												L															
0028	Policy Number	F		F			L		L														L						
0029	Policy Effective Date	F		F		L																L							
0030	Policy Expiration Date	Y		L		L															L								
0098	Sender ID	F		F					L																				
0099	Receiver ID	F		F					L																				
0100	Date Transmission Sent	F		F		L					L																		
0101	Time Transmission Sent	F		F				L																					
0102	Original Transmission Date	N																											

IAIABC
Proof of Coverage Release 2.1
DN-Error Message Table

Sorted by Error Message & DN		Applicable to Jurisdiction Requirements																									
<p>Edit Matrix Population Legend: F = Edit applies to the data elements deemed essential for a transmission/ transaction to be processed. L = *Not grayed out: Edit applies to the data elements based on the requirements indicated on the Element Requirement Table. L = *Grayed out: The standard edit will not be applied by the jurisdiction.</p> <p>Applicable to Jurisdiction's Requirements: F = Essential data element; must be edited for successful transaction processing Y = Yes - indicates that all edits marked for the data element will be applied N = No - indicates that all edits marked for the data elements will not be applied</p> <p>For Population Restrictions: For Data Elements that have certain 'population values' allowed for specific data elements, a "P" is indicated in the 'Population Restrictions Indicator' column and the associated data element population restriction is detailed in the Population Restrictions Table.</p> <p>Error Message</p>		Population Restrictions Indicator																									
		Mandatory field not present																									
		All digits must be 0 – 9																									
		Must be a valid date (CCYYMMDD)																									
		Must be A - Z, 0 - 9, or spaces																									
		Must be valid time																									
		No match on database																									
		All digits cannot be the same																									
		Must be <= current date																									
		Not statutorily valid																									
		Duplicate Batch/Transaction																									
		Code / ID invalid																									
		Non-match data value not consistent with value previously reported																									
		Event Table criteria not met																									
		Invalid event sequence																									
		Invalid data relationship																									
		Corresponding report/data not found																									
		Invalid record/transaction count																									
		Must be >= Policy Effective Date																									
		Must be <= Policy Expiration Date																									
		No leading/embedded spaces																									
		Invalid batch structure																									
		Must be valid content																									
		Must be <= Transaction Set Type Effective Date																									
		Transaction not approved for production																									
		Trading Partner not approved to submit data for Insurer/Claim Admin																									
DN	IAIABC Data Element Name	PR	001	028	029	030	031	039	040	041	042	057	058	059	061	063	064	065	066	067	068	100	106	111	115	116	118
0318	Insured State	Y	L										L														
0319	Insured Postal Code	Y	L	L		L																					
0320	Insured Telephone Number	N				L																					
0321	Business Market	N		L									L														
0322	Wrap-Up Indicator	N											L														
0323	Insured Legal Status	N		L									L														
0324	Prior Policy Number	Y	L			L		L														L					
0325	Assignment Date	N			L																L						
0326	Governing Class	N		L									L														
0327	Total Payroll	N		L																							
0328	Number of Employers	Y	F	L															L								
0329	Employer UI Code	Y	L																								
0330	Number of Employees	Y		L																							
0331	Employer Notification Date	Y	L		L																						
0332	Minimum Premium Policy Indicator	N																									
0333	Employee Leasing Indicator	N																									
0334	Transaction Set Type Code	Y	F	L							L		L														
0335	Transaction Issue Date				L																						

IAIABC
Proof of Coverage
Release 2.1 Population Restrictions Table

DN	Data Element Name	Population Restriction	Error Message Number (DN0116)	Error Message
0006	Insurer FEIN	With data integrity edits applied, value cannot be '123456789' or '999999999' for example.	111	Must be valid content
0016	Employer FEIN	With data integrity edits applied, value cannot be '123456789' or '999999999' for example.	111	Must be valid content
0314	Insured FEIN	With data integrity edits applied, value cannot be '123456789' or '999999999' for example.	111	Must be valid content

IAIABC POC Release 2.1
Jurisdiction Data Element Valid Value Worksheet

capture			Acceptable Code Value List - grayed out indicates that a value is 'Not Statutorily Valid'																																		
DN	Element Name																																				
0004	Jurisdiction		**	UL	U1	U2	U3	FC	FE	M1																											
0300	Transaction Set Purpose Code		00	04	05																																
0303	Transaction Reason Code		01	45	54	56	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	76	77	78	79	80	81	82	83	84	85	86	87	94	95	96	
0321	Business Market		1	2																																	
0322	Wrap-up Indicator		1	2																																	
0323	Insured Legal Status		01	02	03	04	05	06	10	11	12	13	14	99																							
0333	Employee Leasing Policy Identification		1	2	3	4																															
0334	Transaction Set Type Code		05	10	20	31	32	33	41	42	50	60	70																								
	**(refer to State Code list at http://www.iaiaabc.org/EDI/implementation_guide_index.html)																																				

Match Data Table

The Match Data Table is designed to convey which data elements NWCC uses as primary or secondary 'match' data elements. It is used to match to an existing policy for updating and processing.

The data element names are listed down the center column. An 'X' in the appropriate column indicates 'P' (primary) or 'S' (secondary) match data.

Grouping	Data Element Name	P	S
Insured Record (PC1)	DN 0006 Insurer FEIN	X	
	DN 0314 Insured FEIN	X	
	DN 0017 Insured Name	X	
	DN 0028 Policy Number	X	
	DN 0029 Policy Effective	X	
Employer Record (PC2)	DN 0016 Employer FEIN	X	
	DN 0018 Employer Name	X	
	DN 0019 Employer Address Line 1	X	
	DN 0020 Employer Address Line 2	X	
	DN 0021 Employer City	X	
	DN 0022 Employer State	X	
	DN 0023 Employer Postal Code	X	

Section Three:

EDI POC Test Certification Procedures

A Third Party Vendor or Insurer will complete the following tests before being certified to submit electronic Proof of Coverage transactions to the Nebraska Workers' Compensation Court (NWCC).

1. The Third Party Vendor or Insurer and the NWCC will establish the electronic transmission capabilities of the sender and perform a communications pretest with the following objectives:
 - a. Define the FTP transmission technique.
 - b. Send at least one batch with at least six transactions.
 - c. Analyze and validate the batch contains a header record, detail records and a trailer record. Validate the number of transaction records sent matches the total number of records specified in the trailer record.
 - d. Validate the flat file records are of the proper length.
 - e. Validate that data elements contain the complete and accurate data values for the specified data element types.
 - f. Return acknowledgements to the sender.
2. Data transmitted during testing may be either sample data or actual proof of coverage data from current or past reporting periods, which will be discarded after testing is completed.
3. Third Party Vendor or Insurer will make every attempt to submit at least one of every transaction as listed in the NWCC transaction overview. If a Vendor or Insurer is unable to supply every transaction listed in the transaction overview NWCC will create fictitious transactions and substitute them with Vendors or Insurer header information to use to test the NWCC POC system prior to going into production with a Vendor or Insurer.
4. Third Party Vendor or Insurer will supply at least three months of historical data and seven days of daily transactions for the purpose of simulating a production environment.
5. NWCC will process transactions, apply all data element and transaction sequencing edits and return acknowledgments to the sender. This test process will be repeated until the sender demonstrates the ability to submit the transactions with the data quality criteria of at least 95 percent of transmitted reports being free of any errors in mandatory and conditional data elements. Sender will notify the NWCC if there are errors in the acknowledgements.
6. NWCC will notify sender when sender has passed the pilot tests and is approved for production.
7. NWCC and the sender will mutually agree upon a date in which to schedule and begin production. Once all the parties have agreed on the production start date each party makes sure to switch the test indicator to production.
8. Production data sent to NWCC will continue to be monitored for completeness and validity of at least 95 percent of transmitted reports being free of any errors. The Third Party Vendor or Insurer shall re-submit any transactions that were rejected by NWCC for all cases on which a filing is required under the Nebraska Workers' Compensation Act and Rule 32 of the Rules of Procedure of the Nebraska Workers' Compensation Court. The Insurer shall advise NWCC as to any rejected electronic form filings that will not be resubmitted.